

ARIZONA CORPORATION COMMISSION - SECURITIES DIVISION

1300 W. Washington Street, Third Floor

Phoenix, AZ 85007

(602) 542-4242

Requirements for NASD Member Securities Salesman Registration:

All agent registration, transfer, termination, and year-end annual registration filings by NASD members will be accomplished entirely through the WebCRD System. All initial registrations, transfers, and annual registrations require a **\$40.00** fee [See A.R.S. § 44-1861(A)(2)], payable to the "National Association of Securities Dealers." Make sure that the state block for **ARIZONA** is checked on Form U-4 and Form U-5 filings.

Questions regarding agent registration, disciplinary records, etc. should be referred to the CRD/Public Disclosure Gateway Call Center, (301) 590-6500. Any correspondence should be sent to:

CRD/Public Disclosure Department

P.O. Box 9401

Gaithersburg, MD 20898-9401

Requirements for Non-NASD Member and Issuer-Dealer Securities Salesman Registration:

Initial Registration

- Form U-4 with original signatures (affirmative answers to questions require complete details, documents and relative correspondence) [See A.R.S. § 44-1945]
- USASLE Series 63 results [See A.R.S. 44-1942 and R14-4-109]
- Demonstrate business experience (proof of passage of required examination) [See A.R.S. 44-1942 and R14-4-109]
- Fingerprints [See R14-4-122]
- Affidavit (form attached) [See A.R.S. § 44-1942 and 44-1945]
- **\$40.00** registration fee (check payable to Arizona Corporation Commission) [See A.R.S. § 44-1861(A)(2)]
- **\$29.00** fingerprint processing fee (check payable to Arizona Corporation Commission.) Separate check from registration fee. [See A.R.S. § 44-1861(O)]

All of the above documents must be furnished at the time of the initial filing.

Annual Registration Fee

- **\$40.00** annual fee to retain registration (may be filed each year 90 days prior to expiration date) [See A.R.S. § 44-1861(A)(2)]

Transfer of Registration

- U-4 Form
- **\$40.00** transfer fee [See A.R.S. § 44-1861(D)]

Termination of Registration

- Form U-5 Termination notice

Applications for salesmen registration will be processed in accordance with the terms of A.A.C. R14-4-147.

If you have any questions, please contact Susan A. Baker Toth at (602) 542-4242.